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| TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371 | | ATTORNEY'S DOCKET NUMBER 30794.108-US-WO |
| | | U.S. APPLICATION NO. (If known, see 37 CFR 1.5) 10/581940 |
| INTERNATIONAL APPLICATION NO. PCT/US2003/039211 | INTERNATIONAL FILING DATE 09 December 2003 | PRIORITY DATE CLAIMED |
| TITLE OF INVENTION HIGHLY EFFICIENT GALLIUM NITRIDE BASED LIGHT EMITTING DIODES VIA SURFACE | | |
| APPLICANT(S) FOR DO/EO/US Tetsuo Fujii et al. | | |
| ROUGHENING | | |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information: | | |
| <ol style="list-style-type: none"> 1. <input checked="" type="checkbox"/> This is a FIRST submission of items concerning a submission under 35 U.S.C. 371. 2. <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a submission under 35 U.S.C. 371. 3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below. 4. <input type="checkbox"/> The US has been elected (Article 31). 5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)) <ol style="list-style-type: none"> a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> has been communicated by the International Bureau. c. <input checked="" type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US). 6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)). <ol style="list-style-type: none"> a. <input type="checkbox"/> is attached hereto. b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4). 7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) <ol style="list-style-type: none"> a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau). b. <input checked="" type="checkbox"/> have been communicated by the International Bureau. c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. d. <input type="checkbox"/> have not been made and will not be made. 8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). 9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). (Copy of Declaration of Inventorship as filed in International Appln.) 10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)). | | |
| Items 11 to 20 below concern document(s) or information included: | | |
| <ol style="list-style-type: none"> 11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98. 12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. 13. <input type="checkbox"/> A preliminary amendment. 14. <input type="checkbox"/> An Application Data Sheet under 37 CFR 1.76. 15. <input type="checkbox"/> A substitute specification. 16. <input checked="" type="checkbox"/> A power of attorney and/or change of address letter. (Copy of Submission of PCT Powers of Attorney as filed in the International Appln.) 17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821- 1.825. 18. <input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4). 19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4). | | |

AP3 Rec'd PCT/PTO 07 JUN 2008

PTO-1390 (Rev. 07-2005)

Approved for use through 3/31/2007. OMB 0651-0021

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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| U.S. APPLICATION NO. (if known, see 37 CFR 1.5) 10/581940 | | INTERNATIONAL APPLICATION NO. PCT/US2003/039211 | | ATTORNEY'S DOCKET NUMBER 30794.108-US-WO | |
| 20. Other items or information: Copy of recorded Assignment. | | | | | |
| The following fees have been submitted | | | | CALCULATIONS PTO USE ONLY | |
| 21. <input checked="" type="checkbox"/> Basic national fee (37 CFR 1.492(a))..... \$300 | | | | \$ 300.00 | |
| 22. <input checked="" type="checkbox"/> Examination fee (37 CFR 1.492(c)) | | | | | |
| If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4)..... \$0 | | | | \$ 200.00 | |
| All other situations.....\$200 | | | | | |
| 23. <input checked="" type="checkbox"/> Search fee (37 CFR 1.492(b)) | | | | | |
| If the written opinion of the ISA/US or the International preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4)..... \$0 | | | | \$ 100.00 | |
| Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority.....\$100 | | | | | |
| International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB..... \$400 | | | | | |
| All other situations.....\$500 | | | | | |
| TOTAL OF 21, 22 and 23 = | | | | 600.00 | |
| <input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing in compliance with 37 CFR 1.821(c) or (e) or computer program listing in an electronic medium) (37 CFR 1.492(j)). The fee is \$250 for each additional 50 sheets of paper or fraction thereof. | | | | | |
| Total Sheets | Extra Sheets | Number of each additional 50 or fraction thereof (round up to a whole number) | RATE | | |
| - 100 = | /50 = | | x \$250 | \$ -0- | |
| Surcharge of \$130.00 for furnishing any of the search fee, examination fee, or the oath or declaration after the date of commencement of the national stage (37 CFR 1.492(h)). | | | | \$ | |
| CLAIMS | NUMBER FILED | NUMBER EXTRA | RATE | \$ | |
| Total claims | 26 - 20 = | 6 | x \$ 50 | \$ 300.00 | |
| Independent claims | 3 - 3 = | -0-- | x \$200 | \$ -0- | |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable) | | | + \$360 | \$ -0- | |
| TOTAL OF ABOVE CALCULATIONS = | | | | \$ 300.00 | |
| <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/2. | | | | | |
| SUBTOTAL = | | | | \$ 900.00 | |
| Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)). | | | | \$ -0- | |
| TOTAL NATIONAL FEE = | | | | \$ 900.00 | |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property | | | | \$ -0- | |
| TOTAL FEES ENCLOSED = | | | | \$ 900.00 | |
| | | | | Amount to be refunded: | \$ |
| | | | | Amount to be charged | \$ |

10/58194U

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- a. ☐ A check in the amount of \$ _____ to cover the above fees is enclosed.
- b. ☒ Please charge my Deposit Account No. 50-0494 in the amount of \$ 900.00 to cover the above fees.
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 50-0494. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.

SEND ALL CORRESPONDENCE TO:

CUSTOMER NUMBER 22462

George H. Gates

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6701 Center Drive, Suite 1050

Los Angeles, California 90045

(310) 641-8797

George H. Gates
SIGNATURE

George H. Gates

NAME

33,500

REGISTRATION NUMBER

Applicant(s): Tetsuo Fujii, Yan Gao, Evelyn L. Hu, and Shuji Nishimura
 Docket: 30794108USWO
 Title: HIGHLY EFFICIENT GALLIUM NITRIDE BASED LIGHT EMITTING DIODES VIA SURFACE ROUGHENING

AP3 Rec'd PCT/PTO 07 JUN 2006

CERTIFICATE OF MAILING UNDER 37 CFR 1.10

'Express Mail' mailing label number: EV 689293750 US

Date of Deposit: June 7, 2006

I hereby certify that this paper or fee is being deposited with the United States Postal Service 'Express Mail Post Office To Addressee' service under 37 CFR 1.10 and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

By: *Barbara Senty*
 Name: Barbara Senty

MAIL STOP PCT
 Commissioner for Patents
 P.O. Box 1450
 Alexandria, VA 22313-1450

Sir:

We are transmitting herewith the attached:

- ☒ Transmittal sheet, in duplicate, containing Certificate Of Mailing Under 37 CFR 1.10.
- ☒ Form PTO-1390: TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371.
The fee has been calculated as shown below in the "Claims as Filed" table.
- ☒ A copy of International Application No. PCT/US2003/039211 as published.
- ☒ A copy of the PCT Request and Notification of the International Application Number and of the International Filing Date.
- ☒ A copy of the recorded Assignment, copy of signed Declaration of Inventorship, as filed in the International Application, and copy of Submission of PCT Powers of Attorney.
- ☒ A copy of the Notification of Transmittal of the International Search Report or the Declaration and copy of the Amendment Under Article 19 Before the International Bureau of WIPO.
- ☒ A copy of the Chapter II PCT Demand and a copy of the Notification of Receipt of Demand by Competent International Preliminary Examining Authority.
- ☒ A copy of the PCT Written Opinion of the International Preliminary Examining Authority and Amendment Before the International Preliminary Examining Authority.
- ☒ A charge to Deposit Account in the amount of \$900.00 to cover the Total National Fee
- ☒ Return postcard.

| | | | | | | Rate | | Fee |
|------------------------------|--|---------------|---|---------------|---|----------|---|----------|
| Basic National Fee | | | | | | | | 300.00 |
| Examination Fee | | | | | | | | 200.00 |
| Search Fee | | | | | | | | 100.00 |
| Application Size Fee | | | | | | | | \$0.00 |
| CLAIMS AS FILED | | | | | | | | |
| Total Claims | | In Excess of: | | In Excess of: | | | | |
| 26 | | 20 | = | 6 | x | \$50.00 | = | \$300.00 |
| Independent Claims | | | | | | | | |
| 3 | | 3 | = | 0 | x | \$200.00 | = | \$0.00 |
| MULTIPLE DEPENDENT CLAIM FEE | | | | | | | | \$0.00 |
| TOTAL NATIONAL FEE | | | | | | | | \$900.00 |

Please charge all fees to Deposit Account No. 50-0494. A duplicate of this sheet is enclosed.

Customer Number 22462

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By: 

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Initials: GHG/bjs